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							FOCUS AREA I: The provider meets qualifications for waiver services being delivered.																				
							I.1. Transportation: Does the provider meet the requirements for transportation per 460 IAC 6-5-30 and 460 IAC 6-34?	X		X		X	X	X	X X	()	X								X	У	K
							I.1.a Certification that any provider employee transporting individuals has the appropriate driver's license (operator's license; chauffeur's license; public																		1		
							passenger chauffeur's license; or commercial driver's license) to drive the type of motor vehicle for which the license was issued. IAC 460 6-5-30	X		X		X	X	X	ХУ	ζ :	X								X	У	X
							Evidence that all vehicles used by the provider to transport individuals are:								الجاء		الجيا	الجا				البا					
							L1.b Maintained in good repair (How does the provider assure? Seek evidence); 460 IAC 6-34-2	X		X		X			X X		X	—	igspace		_			ш	X		X
				ļ			1.1.c Properly registered with the Indiana Bureau of Motor Vehicles; 460 IAC 6-34-2	X		X		X	_		X X	_	X	+	\sqcup	_	\dashv	\dashv		\sqcup	X		X
							1.1.d Insured as required under Indiana law. 460 IAC 6-34-2 Documentation of liability insurance for all vehicles owned or leased by the provider to transport individuals covering:	X		X		X	X	X	X X	()	X	_			_	_	_		X	X	X
							L1.e Personal injury; IAC 460 6-34-3	X		Y		Y	Y	X	X X	χ .	Y	4	一	4	4	4	_		X	3	X
							L1.f Loss of life; and IAC 460 6-34-3	X		X		X			X X	_	X	+	+	-+	+	+	+	+	X		X
							I.1.g Property damage. IAC 460 6-34-3	X		X		X			X X	_	X	+			\neg	_	\top	\Box	X		X
							1.2 Behavioral Support Services, Level 1 Clinician: Does the provider meet the requirements for behavioral support services, Level 1 Clinician per 460 IAC 6	-																		T,	X
							5.4(a, b)? FOR APPROVALS DATED PRIOR TO JANUARY 1, 2003 ONLY: (1" requirement) The provider will produce (relevant ONLY to approvals dated prio	r										X				4				X	
							to January 1, 2003):																				
							L2.a At least a master's degree in: (i) a behavioral science; (ii) special education; or (iii) social work; and				_					4	\bot	X	\perp					ш	\vdash	Х	X
							L2.b Evidence of 5 years of experience in: (i) working directly with individuals with developmental disabilities, including the devising, implementing, and monitoring of behavioral support plans; and (ii) the supervision and training of others in the implementation of behavioral support plans; and											X								Х	X
							I.2.c Evidence of at least ten (10) continuing education hours related to the practice of behavioral support from a Category I sponsor as provided in 868 IAC 1.1-15, obtained during the last calendar year.											X								Х	X
							For licensed psychologists, does the provider meet the requirements for behavioral support services at 460 IAC 6-5-4(b)? (2nd requirement). The provider																				
				1			will produce: L2.d A psychologist license per IC25-33;								4	4	4	v	4	4	4	4	4	-			v
							1.2.e A current endorsement as a Health Service Provider in Psychology per IC 25-33-1-5.1(c); and	1			+				+	+	+	X	+	\dashv	+	+	+	\vdash	\dashv	X	X
							L2.f Evidence of at least ten (10) continuing education hours related to the practice of behavioral support from a Category I sponsor as provided in 868 IAC								+	+	+			-	\dashv	-	_	\vdash			
							1.1-15, obtained during the last calendar year. 1.3 Behavioral Support Services. Level 2 Clinician: Does the provider meet the requirements for behavioral support services, Level 2 clinician per 460 IAC 6									_	_	X			_	_	_			X	X
							5-4(c)?										X									У	X
							I.3.a The provider will produce documentation confirming at least one of the following requirements: Have a master's degree in clinical psychology,																		4		
							counseling psychology, school psychology, or another applied health service area of psychology; or Be a licensed marriage and family therapist licensed																		4		
							under IC 25-23.6; or Be a licensed clinical social worker under IC 25-23.6; or Be a licensed mental health counselor under IC 25-23.6; or Have a master's degree in a human services field and be able to demonstrate to the BDDS behavior management committee that the individual has either coursework in or																		4		
				ļ			five (5) years of experience in devising, implementing, and monitoring behavior support plans.				_				_	4	X	_	4	_	-	_		ш		Х	
	1			1			1.3.b The provider will produce documentation confirming the level 2 clinician is supervised by a Level 1 clinician. 1.3.c The provider will produce documentation confirming one of the following: Have documentation demonstrating either ten (10) continuing education		1		-				+	+	X	4	₩	\dashv	+	+	$+\!\!\!-$	\vdash	\vdash	$+^{x}$	X
							1.5.c. The provised win produce documentation continuing <u>one</u> to the notioning; rare documentation denominating either ten (10) continuing education hours related to the practice of behavioral supports annually for the past three years; or Documentation of enrollment in ansater's level program in clinical psychology, counseling psychology, school psychology, or another applied health services are of psychology, special education, or social work; or Documentation of enrollment in a doctoral program in psychology.										X	7								х	v
																	- 1										
							1.4 Environmental Modification Supports: Does the provider meet the qualifications for environmental modification supports per 460 IAC 6-5-11?								4		4	4				4	4			E X	(
							I.4.a The provider will produce an active license or certification for each type of environmental modification support service being provided: License: Home Inspector IC 25-20.2; Plumber (E 25-28.5; Physical Therapist IC 25-27-1; Speech/Language Therapist IC 25-35.6; Certification: Architect IC 25-4-1; Occupational Therapist IC 25-23.5																			E X	X
							1.5 Intensive Behavior Intervention Services: Does the provider meet the requirements for Intensive behavior intervention services? (waiver application requirement pg. 128 & 129)												X)	X
							L5.a An active license for the IBI Director that certifies the IBI Director is either a licensed Psychologist under IC 25-33 or a licensed Psychiatrist under IC 25-22.5; and									T			Х					П		Ι,	X
							L.5. An active license for the IBI Case Supervisor that certifies the IBI Case Supervisor as a Board Certified Behavior Analyst or a Board Certified Assistant Behavior Analyst.	1		\dashv					+	\dagger	+	+	X	\dashv	\dashv	\top	+	\forall	\dashv		X
		<u> </u>						1		1	+	\vdash			+	+	+	+	A	\dashv	+	+	+	+	\dashv	+	`
							1.5.c. Lead Therapist - (a) Licensed psychiatrist or psychologist with an HSPP; (b) completed at least 1,500 hours of training or supervised experience in the application of applied behavior analysis or an equivalent behavior modification theory for children with a pervasive developmental disorder; and (c) have at the experience for the properties of the experience for the experience for the experience for the experience for the experience of the experience for												v							,	v

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						L5.d. Senior Therapist - (a) be a psychotherapist, or (b) have completed at least 3,000 hours of training or supervised experience in the application of applied behavior analysis or an equivalent behavior modification theory for children with a pervasive developmental disorder and have at least 400 hours of training or supervised experience in the use of applied behavior analysis (or Beh Mod equivalent) which may be included in the 3,000 hour training requirement. 460 IAC 6-5-32(b)(1)(2)												X						У
						1.5.e. Line Staff - (a) be in at least the second year of college and have obtained at least 30 hours of experience utilizing intensive behavioral treatment with children with autism; or (b) be at least 18 years of age, a high school graduate, and have received at least 2,000 hours of training or supervised experience in the application of applied behavior analysis (or Beh Mod equivalent) in a setting working with children with autism. 460 IAC 6-5-32(c)(1)(2)												X						x
						L5.f Continuing Education - Obtain at least 10 continuing education hours related to applied behavior analysis: (a) from a Category I sponsor as provided in 868 IAC 1.1-15, or (b) as provided by the BDDS's applied behavior analysis support curriculum list.460 IAC 6-5-32 (d)(1)(2)												X						X
						1.6 Music Therapy: Does the provider meet the requirements for music therapy per 460 IAC 6-5-15?														X				X
						L6.a The provider will produce an active certification for each therapist by the National Association of Music Therapists.												П		X				X
						1.7 Occupational Therapy: Does the provider meet the requirements for occupational therapy per 460 IAC 6-5-17?															X			X
						I.7.a Occupational therapists providing services, per IC 25-23.5;												П		П	X			X
						I.7.b Occupational therapy assistants providing services, per IC 25-23.5-5;															X			X
						L7.c Occupational therapy aides providing services, per IC 25-23.5-1-5.5 and 844 IAC 10-6.															X			X
						1.8 Personal Emergency Response System Supports: Does the provider meet the requirements for personal emergency response system supports per 460 IAC 6-5-18?																		P X
						1.8.a Be licensed, certified, registered or otherwise properly qualified under federal, state or local laws applicable to the particular service that the applicant is performing.																		P X
						1.9 Physical Therapy: Does the provider meet physical therapy requirements per 460 IAC 6-5-19?															3	X		X
						1.9.a An active license per IC 25-27-1 for each physical therapist providing services; and														П	7	X		X
						I.9.b An active certification per IC 25-27-1 for each physical therapy assistant providing services.																X		X
						I.10 Recreational Therapy: Does the provider meet the requirements for recreational therapy per 460 IAC 6-5-22?																X		X
						I.10.a The provider will produce an active recreational therapy certification from the Council for Therapeutic Recreation.																X		X
						L11 Specialized Medical Equipment & Supplies: Does the provider meet the requirements for specialized medical equipment & supplies per 460 IAC 6-5-27?																		s x
						L11.a Produce a license, certificate, registration, or other proper qualification required under federal, state, or local laws applicable to the particular service that the applicant is performing.																		s x
						L12 Speech-Language Therapy: Does the provider meet the Speech-language provider qualifications per 460 IAC 6-5-28?													X					X
						I.12.a A current speech-language license per IC 25-35.6 for any speech-language pathologist providing services;													X	П				X
						I.12.b Documentation confirming any speech-language aide providing services conforms to the definition at IC 25-35.6-1-2; and													Х					X
						I.12.c A current registration for any speech language aide providing services per 880 IAC 1-2.													X	\Box				X
						1.13 Therapy (Psychological) Services: Does the provider meet requirements for therapy services (psychological) requirements per 460 IAC 6-5-21?													Х					У
						L13.a The provider will produce documents confirming the provider is one of the following: A psychologist licensed under IC 25-33-1 having an endorsement as a health service provider in psychology pursuant to IC 25-33-1-5.1(c); A marriage and family therapist licensed under IC 25-23.6; A clinical social worker licensed under IC 25-23.6; or A mental health counselor licensed under IC 25-23.6.													X					Х
						I.14 Insurance: Does the provider meet the requirements for an active insurance policy per 460 IAC 6-12?	X	X	X	X	X	X	X	X	X X	X	X		X X	X	X	XX	X	X X
						I.14.a Personal injury to an individual 460 IAC 6-12-2(1)	X		X X							_	_		X X					
						I.14.b Loss of life to an individual 460 IAC 6-12-2(2)	X		_	X						X						X X		
						I.14.c Property damage to an individual 460 IAC 6-12-2(3)	X		X X	_		X		_		_	_		X X			X X		_
						L14.d Documentation of Workers Compensation coverage according to IC 22-3-2 as well as IC 22-3-5-1.	X	X	X X	X	X	X	X	X	X X	X	X	$\perp \perp$	X X	X	X X	X X	X Z	ζ .
						1.15 Non Direct Care Documentation: Does the provider maintain the following documentation regarding support provided to an individual? 460 IAC 6-21-2 (EMOD), 6-28-2 (PERS), 6-32-2 (SME)																		X
						I.15.a - The installation date of any adaptive aid or device, assistive technology, or other equipment;																		X
						L15.b - The maintenance date of any adaptive aid or device, assistive technology, or other equipment;																		X
						L15.c - A change made to any adaptive aid or device, assistive technology, or other equipment, including any: alteration; correction; or replacement.												$oldsymbol{ol}}}}}}}}}}}}}}}} $						X
						L15.d Warrant all equipment and supplies provided to an individual under this rule for at least ninety (90) days. 460 IAC 6-21-1 (EMOD), 6-28-1 (PERS), 6 32-1 (SME)		\Box												\Box				T

							CERT ANSWER SHEET (11/01/2013)																				
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							FOCUS AREA II: The provider has policies and procedures to ensure the rights of individuals,														_		_			_	_
							to direct appropriate services, and to support and manage employees																				
							II.1 Written procedures for prohibiting violations of individual rights: Does the provider have written policies and procedures that prohibit its					Т						_	$\overline{}$	1	т		_	_	\blacksquare		
							employees/agents from violating individuals' rights per 460 IAC 6-9?	X	X	X	X	X	X	X	X	X .	X X	(X	X	X	X	X	X	X X	X	X	>
							The provider will produce written policies and procedures which include prohibitions against: II.1.a - Abusing, neglecting, exploiting, and mistreating individuals 460 IAC 6-9-3(b)(1)	v	v	v	7 V	v	v	v	v	v	v	v v	v	v	v	v	v	vv	v	v	Ţ
		1					II.1.a - Adusing, negrecting, exprorting, and mistreating individuals 400 IAC 6-9-3(0)(1) II.1.b - Violating an individual's rights 460 IAC 6-9-3(b)(2)	X	X	X .	XX	X	X	X	X	X .	X X	XX	X	X	X	X	X X	X X	X	X	3
							II.1.c - Corporal punishment which includes: Forced physical activity; hitting; pinching; the application of painful or noxious stimuli; the use of electric		21	Α .	1 1	1	74			Α .		· A		71	Â			A A			
							shock; the infliction of physical pain? 460 IAC 6-9-3(c)(1)	X	X		X	X	X	X	_	_	X X	_						X X		igwdot	>
		1					II.1.d - Seclusion alone in an area from which exit is prohibited? 460 IAC 6-9-3(c)(2) II.1.e - Verbal abuse, including screaming, swearing, name-calling, belittling, or other verbal activity that may cause damage to an individual's self-respect or	Х	X	X	XX	X	Х	X	Х	X :	Х			X		X	X .	X X	X	$\vdash \vdash$	
							dignity. 460 IAC 6-9-3(c)(3)	X	X	X	XX	X	X	X	X	Χ :	X X	X X	X	X	X	X	X :	X X	X	\sqcup	>
																					ı					1	
							II.1.f - A practice which denies the individual of any of the following without a physician's order: Sleep; Shelter; Food; Drink; Physical movement for prolonged periods of time; Medical care or treatment; Use of bathroom facilities. 460 IAC 6-9-3(c)(4)(A)	X	X	X	x x	X	X	X	X	X :	x x	x x	X	X	x	X	X :	x x	x	1	2
							II.1.g - Work or chores benefiting others without pay unless: (A) The Provider has obtained a certificate from the United States Department of Labor														i				1 1		
							authorizing the employment of workers with a disability at special minimum wage rates; (B) The services are being performed by an Individual in the Individual's own residence as a normal and customary part of housekeeping and maintenance duties; or (C) An Individual desires to perform volunteer work														ı					1	
							in the community. 460 IAC 6-9-3(5)(A)(B)(C)	X	X	X	X	X	X	X	X	X :	X X	ίX	. X	X	X	X	X	X X	X		Σ
							The provider will produce written policies and procedures which includes:											4	4		H	4	4	4	47		
							II.1.h - Conducting and participating in an investigation of an alleged violation of an individual's rights or reportable incident 460 IAC 6-9-4(k)	X	X	X	XX	X	X	X	X		X X	ζ X	X	_		X	X	X X	X	\sqcup	Σ
							II.1.i - Reporting violations of the provider's policies and procedures to the provider 460 IAC 6-9-4(m)	X	X	X	XX	X	X	X	X	X :	X X	X X	X	X	X	X	X :	X X	X	\vdash	_
							II.1.j - Investigating rights violations and incidents which includes immediate necessary steps to protect an individual who has been the victim of abuse,														ı					1	
							neglect, exploitation or mistreatment from further abuse, neglect exploitation or mistreatment 460 IAC 6-9-4(k) A provider shall establish a written protocol for reporting reportable incidents to BDDS as required by section 5 of this rule 460 IAC 6-9-4(o). An incident	X	X	X	XX	X	X	X	X	X	Х	XX	X	X	X	X	Χ .	X X	X		
							described as follows shall be reported to the BDDS on the incident form prescribed by the BDDS:																				ı
							II.1.k - Alleged, suspected, or actual abuse, neglect, or exploitation of an individual. An incident in this category shall also be reported to adult protective services or child protection services as applicable. The provider shall suspend staff involved in														ı					1	
							an incident from duty pending investigation by the provider.	X	X	X	XX	X	X	X	X	X :	X X	X X	X	X	X	X	X	X X	X	\sqcup	_
							II.1.1 - Death of an individual. A death shall also be reported to adult protective services or child protection services as applicable. A death shall also be reported to the BDDS's central office in Indianapolis not later than twenty-four (24) hours after the														ı					1	
							death.	X	X	X	XX	X	X	X	X	X :	ΧУ	X X	X	X	X	X	X :	X X	X	ш	_
							II.1.m - A service delivery site that compromises the health and safety of an individual while the individual is receiving services from the following causes: (A) A significant interruption of a major utility, such as electricity, heat, water, air conditioning, plumbing, fire alarm, or sprinkler system. (B)														i					1	
							Environmental or structural problems associated with a habitable site that compromise the health and safety of an individual, including: (i) inappropriate sanitation; (ii) serious lack of cleanliness; (iii) rodent or insect infestation; (iv) structural damage; or (v) damage caused by flooding, tornado, or other acts of														ı					1	
							nature.	X	X	X	XX	X	X	X	X	X :	X X	X X	X	X	X	X	X :	X X	X	Ш	
							II.1.n - Fire resulting in relocation, personal injury, property loss, or other health and safety concerns to or for an individual receiving services.	X	X	\mathbf{x}	x x	X	x	x	х	x :	х	x x	X	X	x	X	\mathbf{x}	x x	X	1	
							II.1.o - Elopement of an individual.	X	X	X	XX	_			_	_		X X	_	_		_	_	X X	_		_
							II.1.p - Suspected or actual criminal activity by: (A) a staff member, employee, or agent of a provider; or (B) an individual receiving services.	Х	X	X	XX	Х	Х	X	Х	x :	х	x x	X	X	Х	X	X	хх	X		_
							II.1.q - An event with the potential for causing significant harm or injury and requiring medical or psychiatric treatments or																		1 1		_
							services to or for an individual receiving services.	X	X	X		X		_	_		_	XX	_	_	_			X X		igwdot	_
		1					Il.1.r - Admission of an individual to a nursing facility, including respite stays. Il.1.s - Injury to an individual when the origin or cause of the injury is unknown.	X	X	X		-			_	_	_	X X	_	_	_	X		X X X X		$\vdash \vdash$	_
		 					II.1.t - A significant injury to an individual, including: (A) a fracture; (B) a burn greater than first degree; (C) choking that requires intervention; or (D)					1														\vdash	_
		1					contusions or lacerations.	X	X		XX	_					_	XX	_	_	_	_		X X		\vdash	_
		1					II.1.u - An injury that occurs while an individual is restrained.	X	X	X	XX	X	X	X	X	X :	Х	XX	X	X	X	X	X	X X	X	\vdash	_
							II.1.v - A medication error, except for refusal to take medications, that jeopardizes an individual's health and safety, as determined by the individual's personal physician, including the following: (A) Medication given that was not prescribed or ordered for the individual. (B) Failure to administer medication														ı					1	
L							as prescribed, including: (i) incorrect dosage; (ii) missed medication; and (iii) failure to give medication at the appropriate time.	X	X	X	X	X	X	X	X	X :	х	x x	X	X	X	X	X	x x	X	<u>L</u>	ш.
							II.1.w - Inadequate staff support for an individual, including inadequate supervision, with the potential for: (A) significant harm or injury to an individual; or (B) death of an individual.	х	X	X :	XX	X	Х	х	X	X :	x x	x x	X	X	Х	X	X :	хх	X		
							II.1.x - Inadequate medical support for an individual, including failure to obtain: (A) necessary medical services; (B) routine dental or physician services; or																			\Box	_
-	1						(C) medication timely resulting in missed medications. II.1.y - Use of any PRN medication related to an individual's behavior.	X	X	X	_	-		X	_		_	X X	_	_	_			X X X X		$\vdash \vdash$	_
		1		1		1		Λ	Λ	Λ.	. A	Λ	Λ	Λ	Λ	Z1.	/s /	· _ ^		Λ	Λ	Λ	Α	Λ A	Λ		_

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DATE OF FOLLOW UP 2		4on	1.0	istaı	ent	/ice	atio		loy	ista		v In		>	>	by		e (E	ee/s
INITIAL RECORDS REVIEWED (#):		E-N	Han H	Ass	gem	Serv	bilit	onal	Emp	Ass	SPP	eha	apy	rap;	rap	nera)	ion	Car	ploy
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	Approved to Provide (as noted in INSite) "Y" (YES), "N" (NO):																		
	Commenda Describing WVIII (VIEC) WVIII (NO)			_	1 1								-				-	-	-

In	itial Surv	IOV	Falls	ow Up 1	Fall	ow Up 2	Currently Providing "Y" (YES), "N" (NO)	:											Щ	Щ	Щ				Ш	ш	—
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							INDICATORIJI ROBED								7.1.	1111), (D)	LOL	10,110	CLO							
							II.1.z - An incident described in subsection (a) shall be reported by a provider or an employee or agent of a provider who: (1) is providing services to the individual at the time of the incident; or (2) becomes aware of or receives information about an alleged incident.	X	х	х	Х	Х	x x	X	Х	Х	x ,	x x	x x	XX	X	Х	Х	х	x x		
							II.1.aa - An initial report regarding an incident shall be submitted within twenty-four (24) hours of: (1) the occurrence of the incident; or (2) the reporter becoming aware of or receiving information about an incident.	х	х	X			хх		Х	Х		х х		XX	х	Х	Х	X :	хх	. 1 1	
			1	1	1	-	becoming aware of or receiving information about an incident. II.1.ab - The provider providing case management services to an individual shall submit a follow-up report concerning the incident on the BDDS's follow-up.		Λ	Λ	Λ	Λ	A A	А	Λ	Α	Λ /	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	+^	. A	+ A	Λ	A	A -	1 A	+	—
							incident report form at the following times: (1) Within seven (7) days of the date of the initial report. (2) Every seven (7) days thereafter until the incident is resolved.					X															
							II.1.ac - All information required to be submitted to the BDDS shall also be submitted to the provider of case management services to the individual.	X	X	X	X		x x	X	X	X	X Z	x x	χ X	x x	X	X	X	X	x x	.	
							II.2 Written procedure for informing the individual of service and health status: Does the provider have a written procedure for informing the individual on regular basis as specified by the individual's ISP?	X		Х		х					,	x	X	x x	X	Х	X	X :	x		Х
							II.2.a Medical condition 460 IAC 6-9-4(b)(1)	X		X		X							_							\top	X
					1		II.2.b Developmental status 460 IAC 6-9-4(b)(2)	X		X		X						1	+	\top	1			-	\top	+	Х
					1		II.2.c Behavioral status 460 IAC 6-9-4(b)(2)	Х		X		X					- 1	X	Х		1			-	\top	+	Σ
					1		II.2.d Risk of treatment 460 IAC 6-9-4(b)(3)	X		X		X					2	_	X		X	X	X	X	X	+	Х
		1	1				II.2.e Right to refuse treatment 460 IAC 6-9-4(b)(4)	X		X		X			1		2		X		_	X	X	X	X	T	χ
							II.3 Protocol to Ensure Individual Freedoms: Do all other providers have a written protocol for ensuring individuals' rights as outlined in 460 IAC and																				
							DDRS Policies?	X	X	X		X	X X	X	X	X	X Z	X X	X	. X	X	X	X	X	X	4	X
		ļ		1		1	II.3.a Ensure that an individual is free from unnecessary medications and restraints 460 IAC 6-9-4(c)	X	X	X		X	_	1	1	↓ ↓	_	X X	_	_	\perp	 	, —	Ļ	\bot	$\perp \! \! \perp \! \! \downarrow$	Х
							II.3.b Reduce an individual's dependence on medications and restraints 460 IAC 6-9-4(d)	X		X		X					2	X X	X	<u>. </u>						┸	Σ
							Ensure an individual:												البيا					ببعا		4	
							II.3.c - Has the opportunity for personal privacy 460 IAC 6-9-4(e);	X	X	X			X X	_		X		X X	_		X	X	X	X :	X	$oldsymbol{\perp}$	Σ
							II.3.d - Is not compelled to provide services for a provider 460 IAC 6-9-4(f)(1);	X	X	X	X	X	X X	X	X	X	X Z	X X	X X	Ĺ	Ь.		,			$oldsymbol{\perp}$	Σ
							II.3.e - Who works voluntarily for a provider is compensated at the prevailing wage, and commensurate with the individual's abilities 460 IAC 6-9-4(f)(2);	X	X	X	X	X	X X	X	Х	Х	X Z	x x	x x	1	1		$oxed{oxed}$	_	\bot	\perp	Σ
							II.3.f - Has the opportunity to communicate, associate, and meet privately with persons of the individual's choosing 460 IAC 6-9-4(g)(1);	X	X	X	X	X	x x	X	X	X	X Z	x x	x X	C.			, 1				>
							II.3.g - Has the means to send and receive unopened mail 460 IAC 6-9-4(f)(2);	X	X	X	X	X					- 2	X X	X X								Χ
							II.3.h - Has access to a telephone with privacy for incoming and outgoing local and long distance calls at the individual's expense 460 IAC 6-9-4(f)(3);	X	х	X	X	Х	хх	Х	Х	X	X Z	хх	x x								Х
							II.3.i - Has the right to retain and use appropriate personal possessions and clothing 460 IAC 6-9-4(i)	Х	Х	X	_	_	X X	_	_	_		ΧХ	x x	X	Х	X	X	X :	X X		>
							II.3.j Provide an individual with the opportunity to participate in social, religious and community activities 460 IAC 6-9-4(h)	Х	Х	X	X	X					,	X X	x x		+			-	\top	1	>
							II.3.k Protect an individual's funds and property from misuse or misappropriations 460 IAC 6-9-4(j)	X	X	X		X		+			1	_			+			-	\top	+	3
							II.4 Provider Organizational Chart: Does the provider have a current organizational chart?	X	X	X	X	X	x x	X	X	X	X Z	x x	X X	X	X	X	X	X	x x		Ė
							IL4.a ORG Chart including parent organizations and subsidiary organizations; and 460 IAC 6-10-6	X	X	X	X	X	X X	X	X	X	X 2	X X	X X	XX	X	X	X	X	X X	$\overline{}$	_
							II.5 Written Personnel Policy: Does the provider have a written personnel policy that contains all of the items required in 460 IAC (460 IAC 6-16-2)?	X	Х	Х	Х	X	x x	X	X	X	X Z	X X	х х	X	Х	Х	Х	X	x x		
							II.5.a Reviewed and updated as appropriate 460 IAC 6-16-2(a)(2)	X	X	X	X	X	X X	X	X	X	X Z	X X	X X	X	X	X	X	X	X X	T	
							II.5.b Distributed to employees and agents	X	X	X	X	X	X X	X	X	X	X Z	X X	X X	X	X	X	X	X	X X	T	
							II.5.c A procedure for conducting reference, employment, and criminal background checks on each prospective employee or agent. 460 IAC 6-16-2(b)(2)	X	37	Х	37	х	37 37	x	x	37	X7 X	, ,		7 37	37	37	37		X X	. 1	
								Α	Α	Α	Α	Α	A A	Α	Α	Α	A A	Λ A	· A	. A	A	A	Α	Α .	A A	لصل	_
							A prohibition against employing or contracting with a person who has been convicted of any of the following offenses:	37	**	37	3.7	37	37 37	37	37	37	X7 X	7 1	7 X	7 37	37	X.Z	XZ	XZ	X X	4	_
		<u> </u>					Il.5.d - Sex crime; II.5.e - Felony battery:	X		X	X	X	X X	_	_	_		XX	X	. X	X	X	X	X .	XX		_
		ļ						X	X	X			X X		_			XX	_			X	X	X .	XX	+	_
							II.5.f - Exploitation of an endangered adult or of a child;	X					X X			X		XX		X					XX		_
							Il.6.g - Failure to report battery, neglect, or exploitation of an endangered adult or of a child; or failure to report abuse or neglect of a child.	X	X	X			X X					XX		X	X	X	X	X	X X	+	_
				-			Il.5.h - Theft, if the conviction occurred less than 10 years before the person's employment application date, except as provided in IC 16-27-2-5(a)(5); Il.5.i - Murder;	X	X	X		X X	X X X X	_	X	X	X X	X X	_	XX	X	X	X	X	X X X X	+	_
		l -					IL5.j - Voluntary manslaughter;	X	X	X		X	X X		X	-	X					X	X	_	X X		-
		 	1	1	1	+	Il.5.k - Involuntary manslaughter;	X	X	X		X	X X	_	X		X		_		_	X	X		X X	+	_
		1	1	1	 	+	II.5.1 - A felony offense related to a controlled substance;	X	X	X		_	X X		_			X X	_			X	X		X X	+	_
						1	ILS: m A prohibition against hiring people without verified United States residency status. Public Law 99-603 Immigration Reform and Control Act 1986 (Title 1, Sec. 101)	X	X	X		X	X X		X	X	X 2	_		XX	X	X	X		X X	\Box	_
							II.5.n process for evaluating the job performance of each employee and/or agent at the end of their training period and annually thereafter. 460 IAC 6-16-2(b)(4)	X	X	Х			X X			X	x 2	Ť			x	x	X		x x	\Box	_
							***	1	/1	21	71		A	74	71	21	/	- 12	$\perp \perp^{\Lambda}$			21	71		· _ ^		_

DATE (IDER: OF REVI OF FOLL OF FOLL L RECO	OW UP	2) (#):				Res Hab & E-Monitoring	Respite	Structured Family Care Participant Assistance Care	Case Management	Adult Day Service	Community Habilitation	Facility Habilitation Dra-Vocational	Supported Employment	Workplace Assistance	BMAN - Basic	BMAN - HSPP	Intensive Behav Intervention	Psych Therapy	Speech I nerapy Music Therapy	Occup. Therapy	Physical Therapy	Rec. Therapy	S d H)	Non Direct Care (E, P, S, V)	Solo (1 employee/sell)
							Approved to Provide (as noted in INSite) "Y" (YES), "N" (NO): Currently Providing "Y" (YES), "N" (NO):			-				-	+			\vdash		-	-	+	₩	+	+	+	_
I	nitial Surv	ev	Follo	w Up 1	Follo	w Up 2			<u> </u>		1	l		!			1	ш		!_						—	_
NA	Met	Not Met		Not Met		Not Met	INDICATORS/PROBES								APPL	ICA	BLE	SER	VICES	S							_
																,											_
							II.5.0 A process for evaluating the job performance of each employee and/or agent that includes feedback from individuals receiving services from the employee and/or agent. 460 IAC 6-16-2(b)(4)	X	x	x x	x	x	x	x s	x	x	x	x	x .	x .	x x	x	x	x	x		
							II.5.p Disciplinary procedures	X	X	X X	X	X	X	X >	X	X	X	X	X	X	X X	X	X	_	X	十	-
							at at Misses									1				+					-	+	_
							II.5.q A process for suspending staff following a report of, and during an investigation of alleged abuse, neglect, or exploitation 460 IAC 6-9-5 (a)(1)	X	X	X X	X	X	X	ΧУ	X	X	X	X	X	X :	X X	X	X	X	X	\perp	
							II.5.r A description of grounds for disciplinary action against or dismissal of an employee or agent. 460 IAC 6-16-2(b)(5)(6)	X	X	X X	X	X	X	ΧУ	X	X	X	X	X :	X :	X X	X	X	X	X		
							II.5.s Safeguards that ensure compliance with HIPAA and all other Federal and State privacy laws. Public Law 104 - 191 - Health Insurance Portability and Accountability Act of 1996.	X	x	x x	x	x	x	x s	x	x	x	x	x	x .	x x	x	x	x	x		
							Written job description for each position that includes: 460 IAC 6-16-2(b)(1)	21	21	A A	А	24	24	/L /	Λ	71	24	Λ	Α .	Α .	A 2	21	Λ	Λ	î .		
							II.5.t - Minimum qualifications for the position;	X	X	X X	X	X	X	ХУ	X	X	X	X	X	X :	X X	X	X	X	X	т	-
							II.5.u - Major duties required of the position;	X	X	X X	X	X	X	ΧУ	X	X	X	X	X	X :	X X	X	X	X	X	T	
							II.5.v - Responsibilities of the employee/agent in the position;	X	X	X X	X	X	X	ΧУ	X	X	X	X	X :	X :	X X	X	X	X	X	T	
							II.5.w - Whom the person/employee reports to.	X	X	X X	X	X	X	ΧУ	X	X	X	X	X	X :	X X	X	X	X	X	T	
							II.6 Written Training Procedure: Does the provider have a written training procedure that contains all of the items required in 460 IAC and DDRS related policies?	Х	X	v v	N/	37	v	х	X	X	X	X	X	x I	57 X	7 37	X	Х	v		X
							II.6.a Reviewed and updated as appropriate 460 IAC 6-16-3(a)(2)	X	X	X X	V	X		X X			X			_	X X	X			X		Λ_
							II.6.b Distributed to employees and agents	X	X	X X	X	X		X X	_	_	X	_		_	X X	_		_	X	+	_
							II.6.c Mandatory orientation for each new employee/agent to assure the employee/agents' understanding of and compliance with the mission, goals,	Λ	Λ	ΛΛ	Λ	Λ	Λ	A 2	Α Α	Α.	Λ	Α	Λ .	Λ .	A 2	Α Α	A	A	<u> </u>	+	_
							organization and applicability of 460 IAC Article 6. 460 IAC 6-16-3(b)(1)	X	X	X X	X	X	X	ΧУ	X	X	X	X	X	X :	X X	X	X	X	X	丄	_
				1			A system for documenting the training for each employee/agent including:																	بها	اجا	اجعا	
				ļ			II.6.d - The topic of training provided; 460 IAC 6-16-3(2)(A) II.6.e - The name and qualifications of the trainer: 460 IAC 6-16-3(2)(B)	X	_	XX	X	X		X X	_	X	X	_	Χ .	X :	X X	X	X	X	X	+	_
	-							X	X	X X	X	X		_	X	_	X	X	_	X :	X X				X	+	_
	-						II.6.f - The duration of the training (the time of day the training started and stopped); 460 IAC 6-16-3(2)(C)	X	X	X X	X	X		X X	_	_	X	X		_	X X		_		X	+	—
			1	-			Il.6.g - The date or dates of training; 460 IAC 6-16-3(2)(D) II.6.h - The signature of the trainer verifying satisfactory completion of the training by the owner, director, officer, employee, contractor, subcontractor or	X	X	X X	Α	Λ	X	ΧУ	X	X	X	X	Α .	X :	X X	X	X	X	X	+	_
							agent; 460 IAC 6-16-3(2)(E)	X	X	X X	X	X	X	X X	X	X	X	X	X	X :	X X	X	X	X	X		
							II.6.i- The signature of the owner, director, officer, employee, contractor, subcontractor or agent. 460 IAC 6-16-3(b)(2)(F)	X	X	X X	X	X	X	ΧУ	X	X	X	X	X :	X :	X X	X	X	X	X		
							II.6.j A system for ensuring that a trainer has sufficient expertise and knowledge of the subject to achieve the listed outcomes; and is certified or licensed																				
							when the training topic addresses services or interventions requiring certified or licensed practitioners for assessment, plan development, or monitoring. 460 IAC 6-16-3(b)(3)	X	X	X X	X	X	X	x >	X	X	X	X	X	x :	x x	X	X	X	X		
							A Provider's owners, directors, officers, employees, contractors, subcontractors or agents performing any management, administrative or direct service to an Individual on behalf of a Provider company shall receive <u>initial and at minimum annual training in the protection of an Individual's rights, including</u> (460 IAC 6-16.3 (b)(4)):																				
							II.6.k - Protection of individual rights, including protection against abuse, neglect, or exploitation.	X	X	X X	X	X	X	ΧУ	X	X	X	X	X	X :	X X	X	X	X	X	T	
																1		T.,								T	
	1		-	1		1	Il.6.1 - DDRS incident reporting, including: DDRS's current policy on incident reporting; the Provider's incident reporting policies and procedures. Il.6.m - Medication administration if the provider administers medication to an individual.	X	X	X X X X	X	X	X	X X	XX	X	X	X	X .	X :	X X	X	X	X	X	+	
							II.7 Applicable to Behavioral Support Service providers ONLY; Does the provider have written policies and procedures that limit the use of restrictive	X	Α	A A	Α	Α	А	ΧУ	· A	X	X	X	X :	X :	λ λ	X	Α	Α	Α	_	_
							procedures according to 460 IAC and DDRS policies?										X	X	X							7	X
							II.7.a Limit the use of restrictive procedures, including physical restraint or medication to assist in managing behavior. 460 IAC 6-18-3(1)										X	X	X							3	X
							II.7.b Focus on behavioral supports that begin with less restrictive/intrusive methods before more intrusive/restrictive methods are used. 460 IAC 6-18-3(2)										Х	X	X							7	X
							II.8 Conflicts of Interest & Ethics: Does the provider have a conflict of interest and code of ethics policy that meets 460 IAC and DDRS requirements?	Х	Х	хх	X	X	X	х	X	X	X	X	X	x :	х	X	X	X	х	х	X
							Il.8.a - A provider shall develop and enforce policies and procedures regarding conflicts of interest and the disclosure of possible conflicts of interest for all of the provider's employees or agents.	х	х	хх	Х	х	Х	хУ	XX	Х	Х	Х	X :	x :	хх	X	Х	Х	x x	v ,	X
	1		 	1		1	remove remove the union to the provider of employees of agents.	Λ	Λ	ΑΑ	Λ	Λ	Λ	/s /	+^	Λ	Λ	A	Α .	/s .	^	+^	Α.	A	<u> </u>	+	
							II.8.b - A provider shall develop and enforce policies and procedures regarding a code of ethics for agents and employees. The policies and procedures shall	**	\ .		**	3,		, I.	, .	**	**	**	, l	, I.		, ,	,,		v .	, I.	37
	1		1	1		1	be consistent with 460 IAC 6-36. The provider's code of ethics requires all owners, directors, officers, employees, contractors, subcontractors or agents to:	X	X	X X	X	X	X	ХУ	X	X	X	X	X :	X :	X X	X	X	X	X X	+	X
							II.9.c - Provide professional services with objectivity and respect for the unique needs and values of the individual being provided services;	X	X	x x	X	X	X	ΧУ	X	X	X	X	X	x :	X X	X	X	X	X X	X 2	X
							II.8.d - Provide sufficient objective information to enable an Individual, or the individual's legal representative, to make informed decisions; and	X	X	x x	X	X	X	х	X	X	X	X	X	x :	x x	x	X	X	x x	x 1	X
							II.8.e - Avoid discrimination on the basis of factors that are irrelevant to the provision of services.	X	X	X X	X	X	X	ΧУ	X	X	X	_	X	X :	X X	X	X	X	X X	X 2	X
							II.8.f - Accurately present professional qualifications and credentials;	X	X	X X	X	X	X	Х	X	X	X	X	X	X .	X X	X	X	X	X X	X 2	X
							II.8.g - Assume responsibility and accountability for personal competence in providing services;	X	X	X X	X	X	X	ΧУ	X	X	X	X	X	X :	X X	X	X	X	X X	X Z	X
	1		1	1		1	II 9 h Maintain professional licensure or secreditation	v	37	vv	v	v	v	v	v	v	v	v	v	v T	v	v	v	37	37 3	v ,	v

ATE C	DER: OF REVI OF FOLL OF FOLL L RECOI	OW UP	2	(#):			Approved to Provide (as noted in INSite) "Y" (YES), "N" (NO): Currently Providing "Y" (YES), "N" (NO):	Res Hab & E-Monitoring	Respite	Structured Family Care	Participant Assistance Care	Case Management Adult Day Service	Community Habilitation	Facility Habilitation	Pre-Vocational	Supported Employment	Workplace Assistance	BMAN - Basic	BMAN - HSPP Intensive Behav Intervention		Speech Therapy	Music Therapy	Occup. Therapy Physical Therapy	Rec. Therapy		Non Direct Care (E, P, S, V) Solo (1 employee/self)	2010 (1 emproyecracity
	nitial Surv			w Up 1		w Up 2				-			ı				ı	-									
NA	Met	Not Met	Met	Not Met	Met	Not Met	INDICATORS/PROBES								AP	PLI	CAB	LE S	ERVIC	ES							
							II.8.j - Comply with all laws and regulations governing a licensed or accredited person's profession; II.8.k - Maintain the confidentiality of individual information consistent with the standards of IAC 460 and all other state and federal laws and regulations governing confidentiality of individual information;	X	X	X X	X X	X X	X X	X	X	X	X X	X X	x x x x	X	X	X	XXX	X	X Z	X X X X	X
							II.8.1 - Conduct all practice with honesty, integrity, and fairness;	X	X	X	X	X X	X	X	X	X	X		X X		X	X	X X	X		_	X
							II.8.m - Fulfill professional commitments in good faith; and	X	X	X	X	X X	X	X	X	X	X	X	X X	X	X	X	X X	X	X	X X	<u>۷</u>
							Il.8.n - Inform the public and colleagues of services by using factual information. The provider's code of ethics must state the provider's commitment to:	X	X	X	X	X X	X	X	X	X	X	X	X X	X	X	X	X X	X	X Z	X X	١
							II.8.o - Make reasonable efforts to avoid bias in any kind of professional evaluation; II.8.p - Notify the appropriate party of any unprofessional conduct that may jeopardize an individual's safety or influence the individual or individual's	X		X	X	X X	X	X	X	X	X		X X	X	X	X	X X	X		X X	
							representative in any decision making process. The provider's code of ethics must prohibit:	X	X	X	X	X X	X	X	X	X	X	X	X X	X	X	X	X X	X	X	X X	ζ.
							II.8.q - Advertising or marketing in a misleading manner;	X	X	X	X	X X	X	X	X	X	X	X	X X	X	X	X	X X	X	X	X 3	X
							II.9.r - Engaging in uninvited solicitation of potential individuals, who are vulnerable to undue influence, manipulation, or coercion.	X	X	X	X	X X	XX	X	X	X	X	X	X X					X		X >	X
						<u> </u>	FOCUS AREA III: The provider maintains employee information confirming key health, welfare																				
							and training issues. III.1 Files for each employee or agent of the provider: Do the provider's employee or agent files contain all of the general required documents stated in 460	v	v	v	v	v. v.	, v	v	V.	v	v		y v	T v		v	y y	T _v	v	, ,	
							IAC and DDRS policies? Each of the provider's employees' or agents' files must contain:	X	X	X	X	X X	X	X	X	X	X	X	X X	X	X	X	X X	X	X	X X	`
							III. 1.a - Verification that the staff is at least eighteen (18) years of age. 460 IAC 6-14-5.	X	v	v	v	v v	7 V	v	v	X	X	X	X X	X	v	v	X X	X	X	X X	v
							III.1.b - Copy of a current driver's license for each employee/agent who transports individuals in a motor vehicle. 460 IAC 6-15-2(b)(6); Personnel Records,			Λ	Λ	A A		Λ	Λ						A						
							eff. 2-28-11 (IF THEY TRANSPORT). III.1.c For employees or agents who transport individuals in their personal automobiles: Proof of current automobile insurance. 460 IAC 6-15-2(b)(6); Personnel Records, eff. 2-28-11 (IF THEY TRANSPORT)	X		t	X	X X		X	X	X	X		X X		X		x x x x		X	X	X
							III.1.d A negative TB screening dated prior to the employee providing services for all employees/agents including administrative and clerical staff. 460 IAC 6-15-2(b)(1); Personnel Records, eff. 2-28-11: Most common documentation is a signed and dated statement from the health department or other entity authorized to screen for TB. Evidence of a negative chest x-ray is required for individuals with a positive skin text, followed by annual symptom screenings by a licensed medical professional. A health screening signed by a licensed medical professional is required in the case of pregnancy.	X				X X						X	X				x x		X	X	
							III.1.eFor employees or agents that work with individuals, a record of current CPR certification by the American Red Cross, the American Heart Association, the National Safety Council, the American Health and Safety Institute, or the Emergency Care and Safety Council. 460 IAC 6-15-2(b)(2) (IF THEY PROVIDE HANDS ON SERVICES)	х	х	X	X	хх	X	Х	х	X	X	x	Х	X	X	X	x x	X	X	х	X
							III.1.f - Copies of current licensure, certification or registration for employees and/or agents whose job duties require such. 460 IAC 6-15-2(b)(5)					X						X	x x	X	X	X	x x	X	Ш	x x	X
							III.2 Criminal background checks: Does the provider's employee or agent files contain evidence of the criminal background checks required in 460 IAC and DDRS policies?	Х	Х	Х	X	X X	X	X	Х	X	X	X	x x	X	X	X	x x	X	X Z	x x	X
							III.2.a Each of the provider's employee/agent files should have evidence that a criminal history search was obtained from every state (including the Indiana Central Repository) and county, wherever located, in which an owner, officer, director, employee, contractor, subcontractor or agent involved in the management, administration, or provision of services has resided and/or worked during the 3 years before the criminal history investigation was requested. 460 IAC 6-10-5(c)	X	X	X	X	X X	XX	X	X	X	X	X	X X	X	X	X	x x	X	X	хх	X
	ſ			ſ			A criminal background check that verifies each employee is free of the following convictions that include: III.2.b - Sex crime;	v	v	v	v	v v	7 V	v	v	v	X	v	X X	X	v	v	vv	X	X	X X	v
							III.3.c - exploitation of an endangered adult;	X	X	X	X	X X	XX	X	X	X	X	_	X X	X	X	X	X X	X			X
							III.2.d - failure to report battery, neglect, or exploitation of an endangered adult;	X	X	X	X	X X		X	X	X	_	_	X X	_	X	_	X X			_	X
							III.2.e - abuse or neglect of a child;	Х	_	_		X X		_	X	X			X X	_	X		X X	_		_	X
							III.2.f - murder;	X	X	X	X	X X	X	X	X	X	X	X	X X	X	X	X	X X	X	X	X X	K
							III.2.g - voluntary manslaughter;	X	X	X	X	X X	X	X	X	X	X	X	X X	X	X	X	X X	X		X X	
							III.2.h - involuntary manslaughter;	X		_	X	X X		X	X	X	_		X X	_	X		X X			X X	
							III.2.i - felony battery;	X	_			X X		X	X	X			X X	_	X		X X	_		X X	
						1	III.2.j - felony offense related to a controlled substance III.2.k - theft, if the person's conviction for theft occurred less than ten (10) years before the person's employment application date, except as provided in IC	X	X	X	Х	X X	X	X	X	X	X	X	X X	X	X	X	X X	X	X Z	X X	•
							16-27-2-5(a)(5). 460 IAC 6-10-5(b)(1)	X	X	X	X	X X	X	X	X	X	X	X	X X	X	X	X	X X	X	X	X X	ζ
							III.2.1 Verification of lack of findings from nurse aide registry for any owner, director, officer, employee, contractor, subcontractor or agent performing any management, administrative or direct service to an individual. 4601AC 6-10-5(d); The most common documentation for this item is a copy of the page in the state nurse aide registry with the alphabet range in which the employee's name would be located if there were a finding.	Х	X	X	X	X X	XX	X	Х	X	X	X	x x	X	X	Х	x x	X	X	X X	X

ATE O	DER: OF REVII OF FOLL OF FOLL L RECOI	OW UP	2) (#):			Approved to Provide (as noted in INSite) "Y" (YES), "N" (NO):	Res Hab & E-Monitoring	Respite	Structured Family Care Darticipant Assistance Care	gement	Adult Day Service	Community Habilitation	Facility Habilitation	Pre-Vocational	Supported Employment	Workplace Assistance	BMAN - Basic	Intensive Behav Intervention		Speech Therapy	Music Therapy Occup, Therapy	Physical Therapy	Rec. Therapy	Transportation Non Direct Care (E. P. S. V)	Solo (1 employee/self)
							Currently Providing "Y" (YES), "N" (NO):											-		1				\dashv	+	+
In	itial Surv	ev	Follo	w Up 1	Follo	w Up 2	· · · · · · · · · · · · · · · · · · ·				ı		-	<u> </u>			l		- !	I		!				
NA	Met	Not Met		Not Met		Not Met	INDICATORS/PROBES								AF	PPLI	CAB	LE SE	RVIC	CES						
							III.3 Documentation of general training completed before employee begins working with an individual (For direct-care staff): Does the provider's employee																			
							or agent files contain evidence that general training was completed in accord with 460 IAC and DDRS policies? 460 IAC 6-14-4; 460 IAC 6-15-2	X	X	X X	X	X	X	X	X	X	X	X X	X	X	X	X X	X	X	X	X
							Copies of the agenda for each training session the employee/agent attended. This serves as documentation of staff being trained. Agendas should include:																			4
							III.3.a - Subject matter;	X	X	X X	X X	X	X	X	X	X	X	X X	X	X	X	X X	X	X	X	X
							III.3.b - Date and time (duration) of each training session;	X	X	X X	X X	. X	X	X	X	X	X	X X	X	X	X	X X	X	X	X	X
							III.3.c - Name and title of person or persons conducting each training session;	X	_	X X	X	. X	X	X	X	X	X	ХУ	X	_	_	X X	_	_	X	X
							III.3.d - Documentation of the employee's or agent's attendance at each training session, signed by the employee or agent;	X	X	X X	X X	X	X	X	X	X	X	Х	X	X	X	X X	X	X	X	X
							III.3.e - Documentation of the employee's or agent's attendance at each training session, signed by the trainer. 460 IAC 6-15-2(b)(8)	X	X	х	X	X	X	X	X	X	X	Х	X	X	X	X X	X	X	X	X
							A Provider's owners, directors, officers, employees, contractors, subcontractors or agents performing any management, administrative or direct service to an Individual on behalf of a Provider company shall receive initial and at minimum annual training in the protection of an Individual's rights, including:																			
							III.3.f - protecting an Individual from Abuse, Neglect, and Exploitation; and	X	X	ХУ	7 V	v	v	X	X	X	v	ХУ	7 V	v	v	X X	v	v	X	4
							III.3.g - DDRS incident reporting, including: DDRS's current policy on incident reporting; the Provider's incident reporting policies and procedures. 460	Λ	А	A Z	\ A	. 1	Λ	Λ	Λ	Λ	Λ	Λ /	\ A	Λ	Λ	ΛΛ	Λ		^	+
							IAC 6-16-3	X	X	ΧУ	X	X	X	X	X	X	X	X X	X	X	X	X X	X	X	X	
							III.3.h Medication administration if the provider administers medication to an individual (if the position administers medication).																			
							Documentation of training for each employee/agent who provides direct support. Training should occur on the following topics:																			
							III.3.i - Person centered planning, which includes but is not limited to: Person centered planning tools; Respect and individual rights; Choice; Competence, and Community presence and participation. 460 IAC 6-14-4(a)(3)	37	37	х	,	v	X	Х	Х	х	v									v
							and community presence and participation. 4-00 DC 6-14-4(a)(5) III.3 j. Health and wellness, which includes but is not limited to: Universal precautions; Personal care; Safety during emergencies; Positive behavioral supports; Maintaining a safe environment; Nutrition and wellness; Diet and related health issues. 460 IAC 6-14-4(C)(4) & (5); 460 IAC 6-14-4(C)(6)(B);	X	X	A 2		A	A	A	A	Λ	А							\dashv	+	X
							460 IAC 6-14-4(C)(6)(D); 460 IAC 6-14-4(C)(7)	_	_	_	ζ.	X	_	X	X	X	X							ightharpoonup		X
							III.3.k - Communication - communicate successfully with an individual 460 IAC 6-14-4(a)(4);	-	_	X X	_	X	_	X	X	X	X							_		X
							III.3.1 - First Aid and CPR. 460 IAC 6-14-4(C)(2 & 3)	X	X	X X	ζ .	X	X	X	X	X	X								丄	X
							FOCUS AREA IV: Quality assurance/quality improvement																			
							IV.1 Internal Quality assurance/quality improvement system focused on the individual: Does the provider have a written policy on its quality assurance/quality improvement system that contains all the items required in 460 IAC and DDRS related policies?	X	х	х	X	X	X	X	х	х	х	х	XX	X	х	x x	X	x	х	X
							An annual survey of Individual satisfaction;																			
							IV.1.a - Maintain a record of findings from the annual individual satisfaction surveys; 460 IAC 6-10-10(b)	X	X	X X	X	. X	X	X	X	X	X	X X	X	X	X	X X	X	_	X	X
				ļ			IV.1.b - Have documentation of efforts to improve service delivery in response to survey findings;	X	X	X X	X	X	X	X	X	X	X	ΧУ	X	X	X	X X	X	X	X	X
							IV.1.c An assessment of the appropriateness and effectiveness of each outcome included in the Individual's Individualized Support Plan (ISP).	X	X	х	X	X	X	X	X	X	X	Х	X	X	X	X X	X	X	X	X
							A process for:													+				بجعا		Ц.
				 		<u> </u>	IV.1.d - Reporting reportable incidents;	X	X	ΧУ	X	. X	X	X	X	X	X	_	\perp		\sqcup		+	ightharpoonup	_	X
							IV.1.e - Analyzing data associated with reportable incidents. 460 IAC 6-10-10(b)(5)(A)	X	X	X X	X	. X	X	X	X	X	X								_	X
			 	 		-	IV.1.f - Developing recommendations to reduce risk of future incidents. 460 IAC 6-10-10(b)(5)(B)	X	X	X X	X	. X	X	X	X	X	X	_			$\vdash \vdash$		+	\dashv	+	X
							IV.1.g - Reviewing the recommendations to assess their effectiveness. 460 IAC 6-10-10(b)(5)(C)	X	X	XΙΣ	X	. X	X	X	X	X	X							_		X
							If medication is administered to an Individual by a Provider, a process for:	**								~-	**		T				T.	4	4	
							IV.1.h - Analyzing data on medication errors and the persons responsible for them. 460 IAC 6-10-10(b)(6)(A)	X		X X	ζ	X	X	X	X	X	X							_		_
				ļ			IV.1.i - Developing recommendations to reduce risk of future medication errors. 460 IAC 6-10-10(b)(6)(B);	_	_	X X	-	X	X	X	X	X	X							_	_	
							IV.1.j - Reviewing the recommendations to assess their effectiveness. 460 IAC 6-10-10(b)(6)(c)	X	X	X X	(X	X	X	X	X	X							_	_	
							If Behavioral Supports are provided by a Provider, a process for:													+				بجعا		Ц.
							IV.1.k - Analysis the appropriateness and effectiveness of behavioral support techniques used for an individual. 460 IAC 6-10-10(b)(7)(A)							<u> </u>				ХУ	X	<u> </u>				\downarrow	\perp	X
							IV.1.1 - Developing recommendations concerning the behavioral support techniques used with an individual. 460 IAC 6-10-10(b)(7)(B)												X							X
				<u> </u>			IV.1.m - Reviewing the recommendations to assess their effectiveness. 460 IAC 6-10-10(b)(7)(c)	Щ		┸			Ц_					Х	X							X
							If community habilitation and participation services or residential habilitation and support services are provided by the provider, a process for:																			
									T															\neg		
				 			IV.1.n - Analysis the appropriateness and effectiveness of instructional techniques used for an individual. 460 IAC 6-10-10(b)(8)(A)	X	_		_	_	X	<u> </u>			<u> </u>		_		\sqcup	_	$\downarrow \downarrow \downarrow$	—	_	+
				 			IV.1.o - Developing recommendations concerning the instructional techniques used with an individual. 460 IAC 6-10-10(b)(8)(B)	X	_		_	_	X	<u> </u>			<u> </u>		_		\sqcup	_	$\downarrow \downarrow \downarrow$	—	_	$+\!\!-\!\!\!+$
			<u> </u>				IV.1.p - Reviewing the recommendations to assess their effectiveness. 460 IAC 6-10-10(b)(8)(c)	X				ı	X	1											丄	لــــــــــــــــــــــــــــــــــــــ